

Document Type List	Definition
Abbreviated Investigation Report	Statement of findings when an Investigation Sub Process Module is not completed.
Accepted Stipulation Agreement	Stipulation agreement signed by both PLD and the entity sent in with a check.
Annual Report	P&SP Forms 3001-3004, yearly annual report submitted by subject entities.
Annual Report Extension Letter	P&SP letter to entity granting or denying extension for filing requested report (usually AR or SR).
Annual Report Extension Request	Copy of the request received from entity for an extension of time to file report (Usually AR or SR).
Application for Registration	P&SP 1000 - Application for Registration and P&SP 1100 - Application for Registration for Packer Buyer form
Articles of Incorporation	Documentation of Legal Entity and Status, Includes LLC, LP, and LLP's.
Bar Code Cover Sheet	Document that includes a printed bar code to be used for scanning documents directly into PAS folders.
Bond Claim Analysis	Spreadsheet created by agent in support of bond claims.
Bond Claim Form	P&SP 2110 & PSP 2120-Proof of Claim form & documents filed by claimant.
Bond Claim Letter, to Claimant	Cover letter that includes Proof of Claim form to potential bond claimant.
Bond Claim to Surety/Trustee	Letter sent to Surety/Trustee notifying them of bond claim.
Bond/Trust Claim Withdrawal Letter	Notice received from claimant requesting withdrawal of prior claim.
Checkweigh Review Sub Process	Copy of module completed by investigator.
Clearee(or) Term Letter/Request	P&SP letter notifying clearee termination of their bond clearance (coverage) by clearor; Notice received from clearor requesting clearee be removed from clause 3 bond.
Complaints - Received	Complaints received from industry
Contracts - Livestock and Poultry	Agreements between the parties regarding (1) the purchase and sale of livestock or poultry or (2) the care of livestock or poultry under the direction of another person and the payments for that care.
Correspondence	Miscellaneous letters and memos.
Credit Agreement	Agreements showing a credit arrangement between the buyer and seller .

Custodial Respon. Letter	P&SP letters sent to the entity and financial Institution addressing the responsibility of the Custodial bank.
Dealer-BOC Review Sub Process	Copy of module completed by investigator.
Delivery Receipt	Signature confirmation for delivery of a letter or packages.
Discontinued Business Letter	P&SP letter sent to registrant stating their registration was made inactive.
Discontinued Business Notice	A written request from the registrant to make their registration inactive.
FI Bond	P&SP 2000-Bond Required of Livestock Market Agencies, Dealers, and Packers.
FI Bond Rider	P&SP 2100- Rider for General Use with Bond
FI Bond Termination Notice	Notice requesting termination of bond.
FI Certificate of Deposit	Copy of actual certificates showing the funds deposited that are associated with a Trust Agreement, Trust Fund Agreement, or custodial CD.
FI Correction Letter	P&SP letter noting corrections required for any type of bonding instrument (i.e. Bond, TA or TFA).
FI Increase Letter	P&SP letter sent to registrant requesting to increase their Financial Instrument.
FI LOC	P&SP 2600-Irrevocable, Transferable, Standby Letter of Credit
FI LOC Expiration Letter	P&SP letter sent to principal and trustee acknowledging LOC is expiring and listing date of expiration.
FI LOC Non-renewal Notice	A statement sent from the Financial Institution stating they will not be renewing a LOC.
FI LOC Rider	P&SP 2610 -Automatic Renewal Rider or other acceptable rider
FI Reinstatement Letter	P&SP acknowledgment letter to surety that a financial instrument has been reinstated.
FI Reinstatement Notice	Financial instrument reinstatement notice received from surety/trustee.
FI Release Letter	P&SP letter sent to the trustee giving permission to release the funds.
FI Surety Bond Change Notice	Surety notice letter stating assumption of liability.
FI TA	P&SP 2300-Trust Agreement
FI TA Termination Notice	Notice requesting termination of TA.
FI TA/TFA Rider	P&SP 2400 - Rider for General Use with Trust Fund Agreement or Trust Agreement.
FI Termination Letter	P&SP letter sent to the entity and surety informing that their FI will be terminating.
FI TFA	P&SP 2200-Trust Fund Agreement in Lieu of Bond
FI TFA Termination Notice	Notice requesting termination of TFA.
FI Trustee Resp. Letter	Letter sent to the trustee informing them of their responsibilities.

FI Trustee Signature Letter	P&SP letter sending financial instrument to the surety or trustee for signature.
Hearing Clerk Correspondence	Correspondence to/from the Hearing Clerk including FOIA letters to the Hearing Clerk for addresses and correspondence sent to the entities from the Hearing Clerk.
Insurance Documents	Copy of insurance documents supporting auction market's tariff.
Investigation Report	Formal Investigative report prepared by Agent.
Investigation Sub Process	Copy of Investigative module completed by Agent.
Market Review Sub Process	Copy of module completed by Agent.
Memo to Regulatory Review	Statement of findings when a Regulatory Sub Process Module is not completed.
NOD - Notice of Default	Certified letter notifying registrant they are in default.
NOV - Notice of Violation	Certified letter notifying registrant they are in violation.
Official Answer Document	Respondent's official answer to a complaint in an administrative case.
OGC ALJ Documents	Any responses, documents, or motions signed by the administrative law judge.
OGC Brief	A written argument concentrating upon legal points and authorities, used by OGC attorneys, to convey to the court the essential facts of a P&SP's case.
OGC Complaint	Draft complaint written by OGC attorneys.
OGC Correspondence	Any return memos, letters, or transmittals to/from OGC to PLD or to the Respondents.
OGC Decisions	Draft and docketed decisions in an administrative or DOJ case, including Defaults, Consents, and Admissions.
OGC Docketed Complaint	Formal complaint written by OGC attorneys and docketed by the Hearing Clerk.
OGC Exhibit	Evidence to be submitted during administrative hearing.
OGC Filings Other	Miscellaneous filings by the OGC attorneys.
OGC JO Documents	Order or other documents issued by the Judicial Officer.
OGC Motions	Any motion written by an OGC attorney in an administrative case.
OGC Referral Letter	Transmittal from PLD to OGC or from OGC to DOJ.
OGC Respondent Documents	Any document collected or received from the respondent including financial documents, additional evidence, responses to motions, notice of appearances, or other documents from the respondent.

OGC Responses to Motion	Any response written by an OGC attorney to a motion filed by a respondent.
Packer Review Sub Process	Copy of module completed by Agent.
Packer/Poultry Inquiry	P&SP 1400 Packer Inquiry or P&SP 1500- Live Poultry Dealer Inquiry (and letters)
Posting Notice	P&SP 1200 or 1300 forms, including any letters and notices sent to posted stockyards.
Poultry Review Sub Process	Copy of module completed by agent.
Press Release	An official news release written by PLD and posted on our website announcing complaints and decisions to the industry.
PSP 2500 (and Outgoing)	P&SP2500 form and corresponding letters.
Registrant History	Background information on applicant for use in determining acceptance.
Registration Acceptance Letter	P&SP letter sent after registration has been approved for operation.
Registration Correction/Amended Letter	P&SP letter sent when corrections are needed to the application or voluntary amended registrations.
Registration Denial Letter	P&SP letter sent by PLD when registration has been denied.
Registration Expired Letter	P&SP letter sent to the registrant when they do not submit their yearly annual report.
Registration Package	Consist of application for registration and FI forms received for new registrations.
Registration Request Letter	P&SP voluntary registration cover letter.
Regulatory Activity Sub Process	Copy of Regulatory module used unless specifically identified.
Reparation Complaint	P&SP 5000 - Reparation Complaint or any written complaint from a entity alleging harm or wrongdoing and requesting a reparation be filed.
Reparation Correspondence	Any documents collected or sent out to both the complainants and respondents involving a reparation case.
Reparation Decision	Draft and docketed decision in a reparation case.
Re-Registration Acceptance Letter	P&SP letter sent after the expired registration was re-approved.
Re-Registration Package	Consist of application for registration and annual report due to expired registration.
Sale Day Market Review Sub Process	Copy of module completed by agent.
Sanction Summary	A PLD document used to derive a sanction and summarize an investigative report.
Scale Test Report	Scale test report furnished by a regulated entity, state, or private test agency; include PSP conducted tests for monorail scales only.

Scale Test Request Letter	SW1 - Scale Test Reminder Letter mailed out every May and November to entities who have yet to send in required tests for the specified period.
Special Report	P&SP 7003-Special Report for Review of Dealer, Market Agency, and Packer Bonds
Special Report - Custodial Report	P&SP 7001 - Status of Custodial Bank Account For Shippers' Proceeds - Special Report
Special Report - Supplemental Balance Sheet	P&SP 7002-Supplemental Balance Sheet-Special Report
Statement of Operations (and Outgoing)	P&SP letter requesting intentions of principal when bond has been terminated or letter from an entity stating that they are no longer operating and wish to be made inactive.
Stipulation Agreement	Draft stipulation agreement form and letter sent to entity, and completed stipulation form and letter signed by the PLD Director.
Subpoena	Subpoena issued to obtain documentary evidence.
Supporting Document	Documents supporting a report and/or documents collected during the review or Investigation.
Tariff	List of selling charges submitted by SOC firm.
Tariff Acceptance Letter	P&SP letter sent with approved tariff.
Transmittal Letter	Document from Regional Office to PLD giving a brief synopsis of the investigative report.
Trust Claim	Standard claim form sent out by P&SP or claimant written notification.
Trust Claim Analysis	Spreadsheet created by agents in support of trust claims.
Trust Claim Letter, to Claimant	Cover letter that includes Proof of Claim form to potential trust claimant.
Trust Claim Notification Letter	P&SP letter sent to packer and their financial institutions.